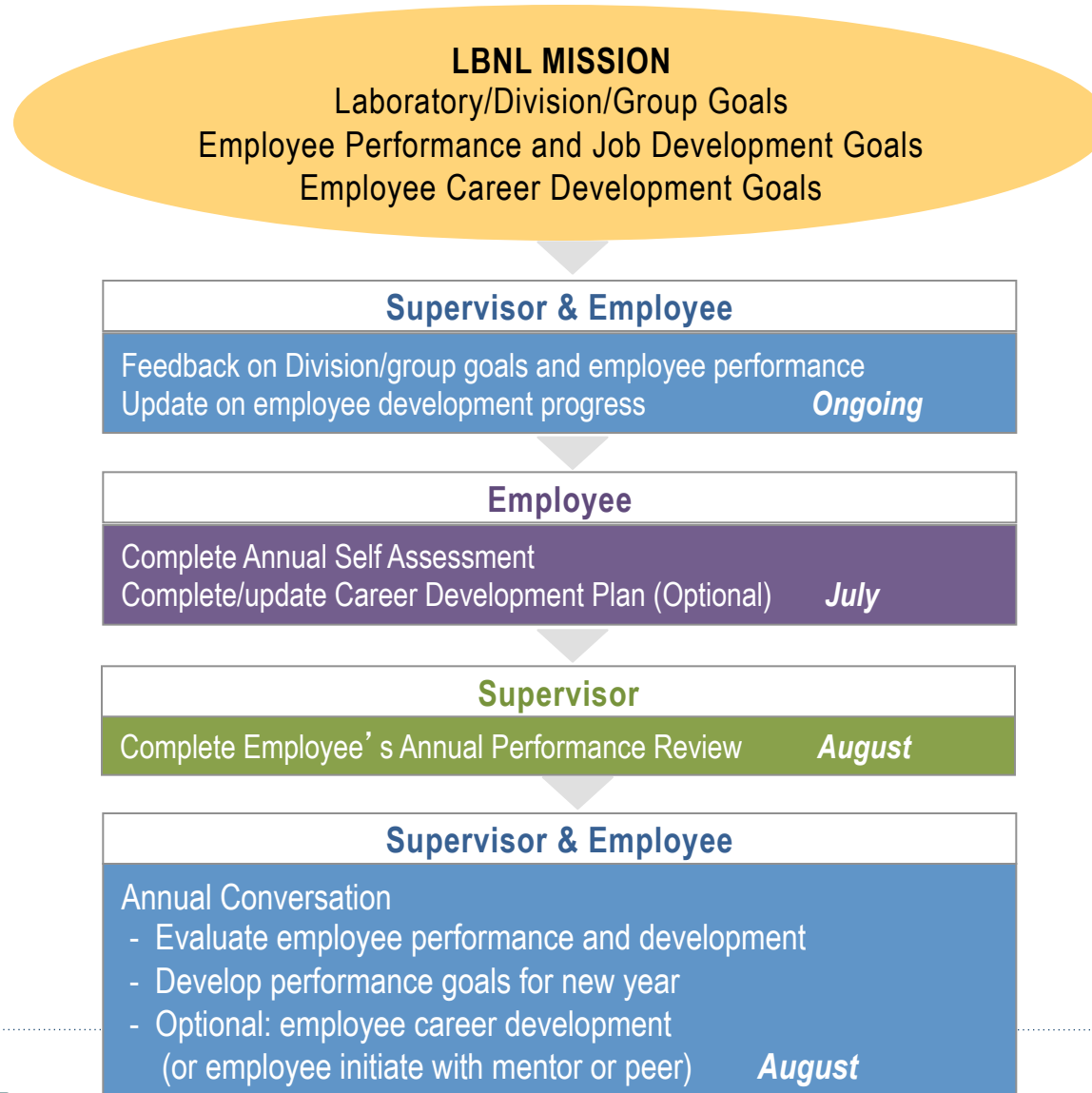




Performance Management Process (PMP) Supervisor Guidance July 2012

Function of the Performance Review



PMP & PRD

- The annual performance reviews are required for all Career, Term and Career-track employees.
 - DOE contractual requirement
 - Policy and CBA requirement
 - Heightened awareness regarding our reporting obligations
- Term and Career employees not represented by a union will do the Performance and Career Management Process (PMP). S&Es no ratings, non-represented, non-S&Es with ratings.
- Employees represented by CUE, UPTE and KB unions will continue to do the Performance Review and Development Process (PRD).
- In AFRD Postdoctoral Fellows receive an annual performance review and will use the S&E PMP forms (without ratings).

Roles and Responsibilities of HR

- Human Resources (HR)
 - Provide supervisors with training, tools and resources to write performance reviews.
 - Provide a roster of employees who are eligible for reviews
 - Assist supervisors and admins with forms (available online - HR & AFRD websites)
 - Assist with access and issues with eRoom
 - Facilitate the process based on deadlines.
 - Coordinate with administrative staff and division management to track drafts and final performance reviews.
 - The HR Division Partners provide consultation and guidance to supervisors who are addressing poor performers or other challenging performance issues.
 - Provide guidance to employees and answer questions related to performance management and development.
 - Provide status updates to Division Sr. Management.
 - Provide the Chief HR Officer with updates for UCOP.

Roles and Responsibilities of the Supervisor

- Supervisor
 - Reflect on employee's performance and contributions over the last year and critique on goals reached or in progress.
 - Review the employee's self assessment.
 - Has the employee met his/her performance expectation?
 - Collect feedback from matrix customers/supervisors, colleagues, close collaborators, etc.
 - Write the performance review and develop new expectations for your employees.
 - Place draft review in e-Room.
 - Address poor performers.
 - Alert the group leader, program head and the HR Division Partner prior to meeting with the employee.
 - Engage in interactive communication with employee to review past performance and new performance expectations.
 - Adhere to the deadlines.

Roles and Responsibilities of Administrative Support

- Administrative Support
 - Use eRoom to place draft performance reviews
 - Help the supervisor with accessing the eRoom and uploading employee self-assessments and draft reviews.
 - Track the submission of forms on the tracking roster.
 - Remind supervisors of key due dates.
 - Provide the Program Head, Deputy or Business Manager with updates as requested

Administrative Contacts

ALS, Division Office, FEL R&D, Fusion & IBT, Supercon: Sam Vanecek
LOASIS & CBP: Martha Condon

Roles and Responsibilities of the Employee and Sr. Management

- Employee
 - Provide a self assessment of his/her performance and contributions over the last year.
 - This is required for all employees not represented by a union.
 - Actively participate in an interactive communication with his/her supervisor on career development and goals.
- Division Director and Program Heads
 - Ensure supervisors fulfill the requirements of writing performance reviews.
 - Ensure supervisors are providing SMART goals for their direct reports that are aligned with the Division's mission/goals.
 - Ensure supervisors are actively engaged in the interactive communication of the performance review.
 - Sign off on all performance review forms as the final reviewer.

Steps to the Performance Review

- Step 1: Review the employee's self assessment.
- Step 2: Obtain feedback from others.
- Step 3: Review and reflect on the employee's past performance and determine new milestones or programmatic goals the employee will be responsible for.
- Step 4: Write the performance review and develop SMART goals
- Step 5: Submit the draft performance review for upward review and make edits.
- Step 6: Meet with the employee and have a performance and development discussion.

Assessing Past Performance

- Review
 - Read the employee's self assessment.
 - Do you agree with it?
 - Does it remind you of activities, accomplishments, milestones you had forgotten about?
 - Review the employee's Training Profile.
 - Has the employee fulfilled all his/her training requirements?
 - Review the employee's Position Description.
 - Is the employee performing work as described in the PD?
 - Does it need to be updated?
 - Review the feedback you received from others.
- Reflect
 - Think about how your employee performed.
 - What are strengths?
 - What are areas for improvement?

Write the Performance Review

- Summarize past performance.
 - Keep in mind all the feedback you received (e.g., employee's feedback, customer feedback, matrix/former supervisor feedback and your own perspective) and write an objective summary of past performance based on all the items you reviewed.
- Identify and develop new performance goals.
 - Write **SMART** goals for your employee.
 - What new work is coming down the pike?
 - What skills/knowledge/abilities need to be developed or learned to meet work/programmatic objectives?
 - Are the goals you set for your direct reports aligned with:
 - ...what your supervisor expects of you?
 - ...what the Program Head expects of the group?
 - ...what the Division Director expects of the Division?
 -the Laboratory's strategic initiatives?

SMART Goals

- **SMART** is an acronym that describes criteria in goal setting.
 - **Specific:** Provides a clear direction or result
 - **Measurable:** Can be measured in time, quantity, quality or cost
 - **Achievable:** Attainable given skill level, timeframe and available resources
 - **Relevant/Realistic:** Aligned with the Group/Program needs or aligned with the mission or milestones of a project
 - **Time Bound:** Clearly defined time frames and deadlines
- SMART goals allow an individual to review his/her own progress on meeting work and project goals.
- For supervisors, SMART goals help open the dialogue with direct reports while maintaining a focus on objective performance results and expectations.

Performance Review Timeline

Action	Timing	Responsibility
Announcement to Division employees	June 22	Division Director
Communication to supervisors	July 20	Sr. HR Division Partner
BLI performance review discussion workshop for supervisors	Aug. 7	Supervisor sign-up using Employee Self Service
BLI performance review discussion workshop for employees	July 31	Employee sign-up using Employee Self Service
Employee self assessments due to supervisor	July 9	Employee
Draft performance reviews ready for upward review	August 6	Supervisor
Performance reviews finalized and supervisor meets with employee(s)	August 20	Supervisor
Final signed performance reviews to HR	Sept. 10	Supervisor

Performance Management Page

- Access from A-Z Index
- Print out documents
 - Forms with Guidance Sheets
 - Examples of written Self Assessments: S&E and Non-S&E
 - Example of Career Development Plan

The screenshot shows the Berkeley Lab website's Performance Management section. The header includes the Berkeley Lab logo and the U.S. Department of Energy logo. The main navigation bar has links for Employee Resources, Appointment Types, Employee Actions, Human Resources Core Services, and Human Resources Staff Information. The Employee Actions menu is expanded, showing options like Awards, Hires, Leaves, Multilocation Appointment, New Employee Orientation, Performance Management, Teach at UC, Telecommuting, and Termination. The Performance Management section is highlighted. Below the navigation bar, the page title is 'Performance Management Forms and Resources' with a note: '(Note: Please use these forms for both career and probationary employees.)'. The content is organized into three columns. The first column, 'Performance Review & Development Process (PRD)', lists participating employees (all employees represented by CUE, UPTe, and KB) and forms (Annual Supplement to the Professional Resume (ASPR), PRD Employee Self-Assessment Worksheet, Performance Review and Development (PRD) Form, PRD Feedback Worksheet, PRD Assessing Competencies Worksheet, and Institutional Requirements). The second column, 'Performance/Progress Review (P2R)', lists participating employees (all employees represented by AFSCME and CNA) and forms (P2R Employee Worksheet, Performance/Progress Review Form (P2R), and P2R Performance and Development Planning Worksheet). The third column, 'NEW! - Performance and Career Management Process (PMP)', states that this is a new Lab-wide program for 2011, lists participating employees (all non-represented scientists and non-scientists), and lists forms (Annual Self Assessment Form for Scientists/Engineers (with Guidance Sheet), Annual Self Assessment Form for Non-Scientists/Non-Engineers (with Guidance Sheet), Annual Performance Review Summary Form Without Ratings (with Guidance Sheet), Annual Performance Review Summary Form With Ratings (with Guidance Sheet), Career Development Plan Form (with Guidance Sheet), and Peer Review Form). It also includes examples of completed forms (Annual Self Assessment for Scientist and Non-Scientist).

AFRD Website

Go to <http://afrd.lbl.gov/intramural.html>

AFRD - INTRAMURAL

Home Organization Outreach and Diversity Highlights Safety Other Websites and Labs Intramural

2012 Performance and Career-management Process (PMP) in AFRD

A version of this memorandum from Human Resources was e-mailed to all AFRD employees on June 22.

In AFRD, Postdoctoral Fellows as well as non-represented, career-track staff participate in the annual, required performance-review process. Now in its second year and designed on the basis of extensive feedback, this process is designed to **encourage ongoing conversations** about performance between supervisor and employee, **clarify** goals and expectations, and place greater emphasis on **career development**.

Staff represented by a collective bargaining agreement will continue to use the PRD forms as they have in previous years.

The PMP and PRD process will evaluate performance from July 1, 2011 through June 30, 2012.

KEY DATES FOR AFRD PRDs

Forms to Employees	Self Assessments Due to Supervisors	Draft Reviews Due for Upward Review	Supervisors Meet with Employees Starting on...	Final Signed Review Returned to HR
Thursday 6/21/12	Monday 7/9/12	Monday 8/6/12	Monday 8/20/12	Monday 9/10/12

EMPLOYEE FORMS

S&E's of all levels and Postdocs
Scientists and Engineers (S&E's) and Postdoctoral Fellows use the [S&E Self Assessment Form](#).
[Guidance sheet for the S&E form.](#)
[Example of a filled-out S&E form.](#)

Non-Represented Non-S&E's
Non-scientist-and-engineer employees who are non-represented use the [Non-S&E Self Assessment Form](#).
[Guidance sheet for the Non-S&E form.](#)
[Example of a filled-out Non-S&E form.](#)

Represented Employees
Represented employees will continue to participate in the Performance Review and Development (PRD) process and use the optional [PRD Employee Self-Assessment Worksheet](#). (No filled-out example available for this form.)
Remember, you have until Monday, July 9, to complete your Self-Assessment and submit it to your supervisor.

If you have any questions please contact your HR Center:

Diane Heim, Sr. HR Division Partner – x2802, DMHeim@lbl.gov
Dominga Estrada, HR Division Partner – x6783, EstradaDR@lbl.gov